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PATENT

Attorney Docket No. 023070-068930US  
UC Case No. 96-185-4

TOWNSEND and TOWNSEND and CREW LLP

By \_\_\_\_\_

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: )  
JOE W. GRAY, et al. )  
Serial No.: 08/892,695 )  
Filed: July 15, 1997 )  
For: GENES FROM THE 20q13 )  
AMPLICON AND THEIR USES )

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MATRIX CUSTOMER  
SERVICE CENTER

**POWER OF ATTORNEY BY ASSIGNEE  
AND EXCLUSION OF INVENTOR(S) UNDER 37 CFR § 3.71**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints Kevin L. Bastian, 34,774; Kenneth A. Weber, 31,677, Ellen Lauver Weber, 32,762, Eugenia Garrett-Wackowski, 37,330, John R. Storella, Reg. No. 32,944, Timothy L. Smith, 35,367, Hector A. Alicea, Reg. No. 40,891 and Tom Hunter, Reg. No. 38,498, all of the firm of Townsend and Townsend and Crew LLP, as its attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with the provisions of 37 CFR § 3.71.

An assignment of the entire interest in the above-identified subject application:

[X] was recorded on March 6, 1998 at reel/frame  
9047 / 0116.

[ ] is submitted under separate cover for recording. (A copy is submitted herewith as an attachment only.)



Please direct all telephone calls to Kevin L. Bastian and all correspondence relative to said application to the following address:

Townsend and Townsend and Crew LLP  
Two Embarcadero Center, 8th Floor  
San Francisco, California 94111-3834

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SERVICE CENTER

Dated: 5-13-98

ASSIGNEE: THE REGENTS OF THE  
UNIVERSITY OF CALIFORNIA

Signature:

Typed Name:

Title:

Linda S. Stevenson

Linda S. Stevenson

Principal Prosecution Analyst

Office of Technology Transfer

1111 Franklin Street, 12th Floor  
Oakland, CA 94607-5200

NOV 25 1998

**CERTIFICATE UNDER 37 C.F.R. § 3.73(b)**

Applicant: Joe W. GRAY, Colin Conrad COLLINS, Soo-in HWANG, Tony GODFREY, David KOWBEL  
KOWBEL and Johanna ROMMENS

Application No.: 08/892,695 Filed: July 15, 1997

For: GENES FROM THE 20Q13 AMPLICON AND THEIR USES

The Regents of the University of California

(Name of Assignee)

, a California corporation,

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame(s) \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

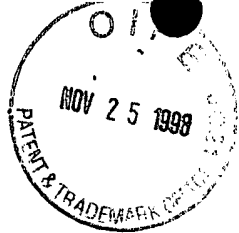
I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : 5-13-98

Name : Linda S. Stevenson

Title : Principal Prosecution Analyst

Signature : Linda S. Stevenson



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

KLB



\*100669799A\*

MAY 18, 1998

PTAS

TOWNSEND AND TOWNSEND AND CREW LLP  
KEVIN L. BASTIAN  
TWO EMBARCADERO CENTER, 8TH FLOOR  
SAN FRANCISCO, CA 94111-3834

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION  
OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS  
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER  
REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE  
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA  
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD  
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY  
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.  
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,  
ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY,  
SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/06/1998

REEL/FRAME: 9047/0116  
NUMBER OF PAGES: 9

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

GRAY, JOE W.

DOC DATE: 02/23/1998

ASSIGNOR:

COLLINS, COLIN CONRAD

DOC DATE: 02/13/1998

ASSIGNOR:

HWANG, SOO-IN

DOC DATE: 02/13/1998

ASSIGNOR:

GODFREY, TONY

DOC DATE: 02/23/1998

ASSIGNOR:

KOWBEL, DAVID

DOC DATE: 02/13/1998

ASSIGNOR:

ROMMENS, JOHANNA

DOC DATE: 12/12/1997

*Exhibit to  
(cert. 3.72(6)  
only*

RECEIVED  
MAY 26 AM 8 47  
TOWNSEND & TOWNSEND  
& CREW

ASSIGNEE:

CALIFORNIA, UNIVERSITY OF, THE REGENTS OF THE  
300 LAKESIDE DRIVE, 22ND FLOOR  
OAKLAND, CALIFORNIA 94612-3550

SERIAL NUMBER: 08892695

FILING DATE: 07/15/1997

PATENT NUMBER:

ISSUE DATE:

SEDLEY PYNE, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

FORM PTO-15  
(Rev. 6-93)

100669799

ION FORM COVER SHEET  
PATENTS ONLYU.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To the Honorable Assistant Commissioner, please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Joe W. Gray, Colin Conrad Collins, Soo-in Hwang, Tony Godfrey, David Kowbel and Johanna Rommens

## 2. Name and address of receiving party(ies):

Name: The Regents of the University of California

Internal Address:

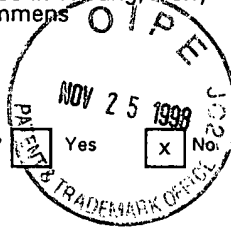
Street Address: 300 Lakeside Drive, 22nd Floor

City: Oakland State: CA ZIP: 94612-3550

Additional name(s) & address(es) attached? ☐ Yes ☒ No

Additional name(s) of conveying party(ies) attached?

MRD 3-6-98



## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other:

Execution Date: February 23, 1998 (Gray & Godfrey);  
February 13, 1998 (Hwang, Kowbel & Collins); December  
12, 1997 (Rommens)

## 4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) 08/892,695

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Kevin L. Bastian  
TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8th Floor  
San Francisco, California 94111-3834  
(415) 576-0200

## 6. Total number of applications and patents involved: 1

## 7. Total fee (37 CFR 3.41):..... \$ 40.00

- ☐ Enclosed ☒ Charge Fees to Deposit Account  
☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account

## 8. Deposit account number: 20-1430

03/23/1998 TTDH11 00000033 DAN:201430 08892695  
01 FC:581 40.00 CH

DO NOT USE THIS SPACE

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Kevin L. Bastian  
Name of Person Signing

Signature

Date

3/2/98

Atty. Reg. No. 34,774

Total number of pages including cover sheet, attachments, and document: 9

10. Change Correspondence Address to that of Part 5? ☒ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover sheet information to:

Do not detach this portion  
Asst. Commissioner for Patents  
Box Assignments  
Washington, D.C. 20231

ASSIGNMENTU.C. Case No. 96-185-4

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- |                        |                                |
|------------------------|--------------------------------|
| 1. <u>Joe W. Gray</u>  | 2. <u>Colin Conrad Collins</u> |
| 3. <u>Soo-in Hwang</u> | 4. <u>Tony Godfrey</u>         |
| 5. <u>David Kowbel</u> | 6. _____                       |

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 300 Lakeside Drive, 22nd Fl., Oakland, CA 94612-3550, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

GENES FROM THE 20q13 AMPLICON AND THEIR USES

and which is found in

- (a) \_\_\_\_\_ U.S. provisional application filed herewith and listing the above-named persons as inventors
- (b) \_\_\_\_\_ U.S. patent application filed herewith and listing the above-named persons as inventors
- (c) X \_\_\_\_\_ U.S. application serial no. 08/892,695, filed on July 15, 1997
- (d) \_\_\_\_\_ U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

23 day of February, 1998

\_\_\_ day of \_\_\_, 19\_\_

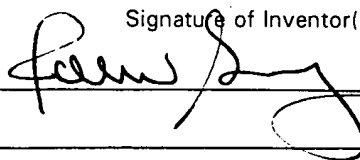
\_\_\_ day of \_\_\_, 19\_\_

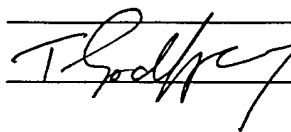
23 day of February, 1998

\_\_\_ day of \_\_\_, 19\_\_

\_\_\_ day of \_\_\_, 19\_\_

Signature of Inventor(s)





M:UCASSIGN.MRG 4/97

(UC Revised: 2/26/97)

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ASSIGNMENTU.C. Case No. 96-185-4

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- |                        |                                |
|------------------------|--------------------------------|
| 1. <u>Joe W. Gray</u>  | 2. <u>Colin Conrad Collins</u> |
| 3. <u>Soo-in Hwang</u> | 4. <u>Tony Godfrey</u>         |
| 5. <u>David Kowbel</u> | 6. _____                       |

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 300 Lakeside Drive, 22nd Fl., Oakland, CA 94612-3550, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

GENES FROM THE 20q13 AMPLICON AND THEIR USES

and which is found in

- (a) \_\_\_\_\_ U.S. provisional application filed herewith and listing the above-named persons as inventors
- (b) \_\_\_\_\_ U.S. patent application filed herewith and listing the above-named persons as inventors
- (c) X \_\_\_\_\_ U.S. application serial no. 08/892,695, filed on July 15, 1997
- (d) \_\_\_\_\_ U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

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AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

\_\_\_ day of \_\_\_, 19\_\_

\_\_\_ day of \_\_\_, 19\_\_

13<sup>th</sup> day of Feb, 1998

\_\_\_ day of \_\_\_, 19\_\_

\_\_\_ day of \_\_\_, 19\_\_

\_\_\_ day of \_\_\_, 19\_\_

\_\_\_\_\_  
\_\_\_\_\_  
*S. Hwang*  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

M:UCASSIGN.MRG 4/97

(UC Revised: 2/26/97)

F:\DATA\PSIPTOD\SB\79504.1

ASSIGNMENTU.C. Case No. 96-185-4

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- |                        |                                |
|------------------------|--------------------------------|
| 1. <u>Joe W. Gray</u>  | 2. <u>Colin Conrad Collins</u> |
| 3. <u>Soo-in Hwang</u> | 4. <u>Tony Godfrey</u>         |
| 5. <u>David Kowbel</u> | 6. _____                       |

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GENES FROM THE 20q13 AMPLICON AND THEIR USES

and which is found in

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- (b) \_\_\_\_\_ U.S. patent application filed herewith and listing the above-named persons as inventors
- (c) X \_\_\_\_\_ U.S. application serial no. 08/892,695, filed on July 15, 1997
- (d) \_\_\_\_\_ U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_

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ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

13 day of February, 1998

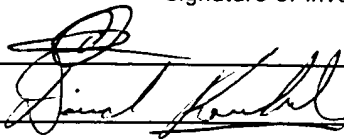
13 day of FEBRUARY, 1998

\_\_\_ day of \_\_\_, 19\_\_

\_\_\_ day of \_\_\_, 19\_\_

\_\_\_ day of \_\_\_, 19\_\_

\_\_\_ day of \_\_\_, 19\_\_

  
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(UC Revised: 2/26/97)

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**ASSIGNMENT OF PATENT APPLICATION**

**SOLE**

WHEREAS, Johanna Rommens of 717 Bay Street, #1501, Toronto, Ontario, Canada M5G 2J9, hereinafter referred to as "Assignor," is the inventor of the invention described and set forth in the below identified application for United States Letters Patent:

Title of the Invention: **GENES FROM THE 20q13 AMPLICON AND THEIR USES**

Date(s) of execution of Declaration: Dec 12, 1997

Filing date: July 15, 1997 Application No.: 08/892,695; and

WHEREAS, The Hospital for Sick Children, a corporation incorporated under the laws of Ontario, located at 555 University Avenue, Toronto,, Canada M5G 1X8, hereinafter referred to as "Assignee," is desirous of acquiring an interest in the invention and application and in any Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignor, Assignor has assigned, and by these presents does assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignor had this assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignor further agrees that Assignor will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements,

(b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignor has signed his/her name on the date indicated.

Date: Dec 12, 1997

Johanna M Rommens  
Johanna Rommens

SIGNATURE WITNESSED BY:

(1) Date: Dec 12/97

Barbara Lankers  
Signature of Witness 1

(2) Date: Dec. 12/97

Robertson  
Signature of Witness 2

ASSIGN1.MRG 10/96

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